

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Inventor(s): Wayne Weimer

Serial No.: Unknown

Examiner: Unknown

Filing Date: May 10, 2001

Art Unit: Unknown

Title: System and Method for Controlling Deposition Parameters in Producing a Surface to Tune the Surface's Plasmon Resonance Wavelength

11033 U.S. PTO
09/852992
05/10/01

COMMISSIONER FOR PATENTS
Washington, D.C. 20231

INFORMATION DISCLOSURE STATEMENT

Sir:

This Information Disclosure Statement is submitted:

- ☒ under 37 CFR 1.97(b)
 (1) Within three months of filing a national application other than a continued prosecution application under § 1.53 (d);
 (2) within three months of the date of entry of the national stage as set forth in § 1.491 in an international application;
 (3) before mailing date of first Office action on the merits; or
 (4) before the mailing of the first Office action after the filing of a request for continued examination under § 1.114.
- ☐ under 37 CFR 1.97(c) together with either a:
☐ Statement under 37 CFR 1.97(e), or
☐ a \$180.00 fee under 37 CFR 1.17(p), or
 (After the CFR 1.97(b) time period, but before final action or notice of allowance, whichever occurs first)
- ☐ under 37 CFR 1.97(d) together with a:
☐ Statement under CFR 1.97(e), and
☐ a \$180.00 fee set forth in 37 CFR 1.17(p).
 (Filed after final action or notice of allowance, whichever occurs first, but before payment of the issue fee)

At any time during the pendency of this application, please charge any fees required or credit any overpayment to Deposit Account 06-2380 pursuant to 37 CFR 1.25.

☒ Applicant(s) submit herewith Form PTO 1449 - Information Disclosure Citation together with copies of patents, publications or other information of which applicant(s) are aware, which applicant(s) believe(s) may be material to the examination of this application and for which there may be a duty to disclose in accordance with 37 CFR 1.56.

☐ Applicant hereby states under CFR 1.97(e)(1) that each item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement.

☐ Applicant hereby states under CFR 1.97(e)(2) that no item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing below after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in § 1.56(c) more than three months prior to the filing of the information disclosure statement.

☐ A concise explanation of the relevance of foreign language patents, foreign language publications and other foreign language information listed on PTO Form 1449, as presently understood by the individual(s) designated in 37 CFR 1.56(c) most knowledgeable about the content is given on the attached sheet, or where a foreign language patent is cited in a search report or other action by a foreign patent office in a counterpart foreign application, an English language version of the search report or action which indicates the degree of relevance found by the foreign office is listed on form PTO 1449 and is enclosed herewith.

It is requested that the information disclosed herein be made of record in this application.

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to:
 Assistant Commissioner for Patents, Washington, D.C. 20231

Date of Deposit: May 10, 2001

Typed Name: Gail L. Miller

Signature: *Gail L. Miller*

Respectfully submitted,

By: *Jody G. Bishop*
 Jody G. Bishop
 Attorney/Agent for Applicant
 Reg. No. 44,034

Date: May 10, 2001

Telephone No.: (214) 855-8007

PATENT APPLICATION

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| FORM PTO-1449 LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT (Use several sheets if necessary) | ATTY. DOCKET NO. 50767-P013US-10102765 | SERIAL NO. Unknown |
| | APPLICANT Wayne Weimer | |
| | FILING DATE May 10, 2001 | ART UNIT Unknown |

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05/10/01

REFERENCE DESIGNATION

U.S. PATENT DOCUMENTS

| EXAMINER INITIAL | DOCUMENT NUMBER | DATE | NAME | CLASS | SUB CLASS | FILING DATE IF APPROPRIATE |
|---------------------|--------------------|---------------|---------------|-------|--------------|-------------------------------|
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FOREIGN PATENT DOCUMENTS

| EXAMINER INITIAL | DOCUMENT NUMBER | DATE | COUNTRY | CLASS | SUB CLASS | TRANSLATION | |
|---------------------|--------------------|------|---------|-------|--------------|-------------|----|
| | | | | | | YES | NO |
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OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, etc.)

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| | Nanosphere Lithography: tunable Localized Surface Plasmon Resonance Spectra of Silver Nanoparticles by Traci R. Jensen et al., Dept. of Chemistry, Northwestern University, Evanston, IL, Published on Web 10/21/00 |
| | Surface-Enhanced Raman Scattering by Alan Campion et al., Chemical Society Reviews, 1998, volume 27 |
| | Raman Spectroscopy by Shawn P. Mulvaney et al., Analytical Chemistry, Vol. 72, No. 12, June 15, 2000 |
| | Thin films by Regular Patterns of Metal Nanoparticles: Tailoring the Optical Properties by Nanodesign by W. Gotschy et al., Applied Physics B, Spring 1996 |

Examiner

Date Considered